USDA Accountability Human Capital Conference

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Impetus for Accountability Planning

▸ Executive Order 13197 requires each Agency establish and maintain a system of accountability for merit system principles

▸ Government Performance and Results Act (GPRA) provides legal mandate with implications for HRM accountability

▸ USDA's Accountability Plan, a result of the Human Capital Plan, promotes effective operation of human resources management (HRM) programs in the Department

▸ Accountability System Plan aligned with OPM's Human Capital Assessment and Accountability Framework (HCAAF)

▸ An Accountability System Plan makes business sense

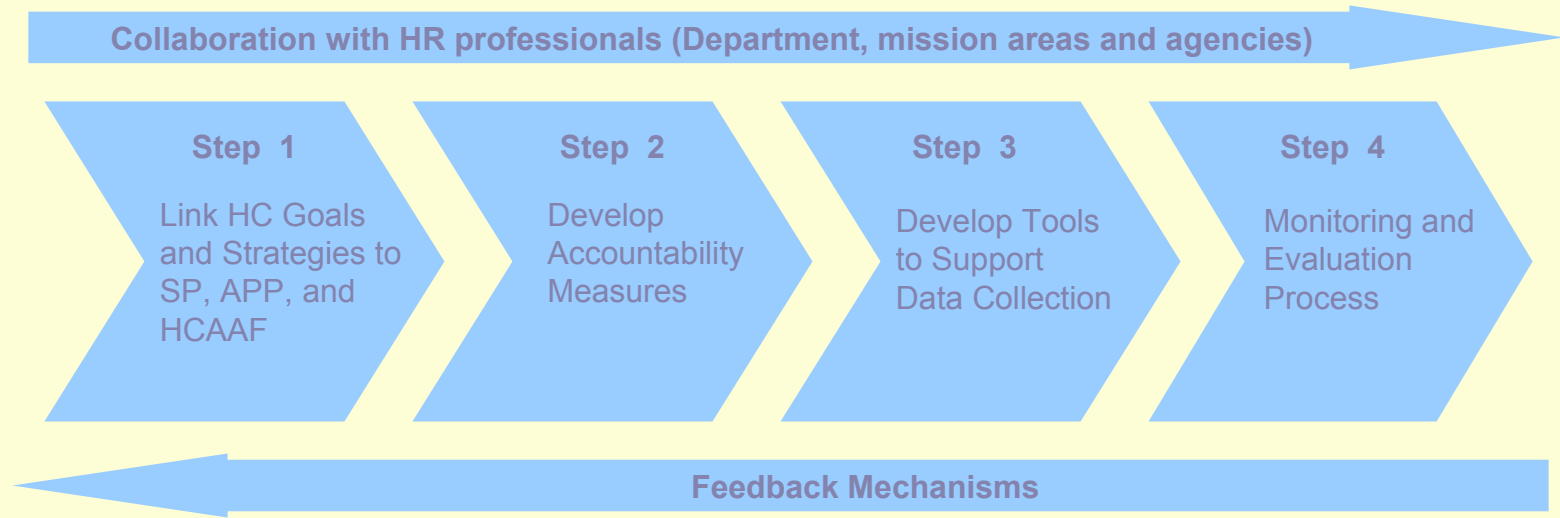▸ USDA completed its Accountability Plan in December 2002

Objectives of the USDA Accountability Plan

▸ To define the way we assess and evaluate the effectiveness and efficiency of the Human Resource Management (HRM) function

▸ To ensure that over time, people are managed efficiently and effectively and in accordance with the merit system principles, veteran's preference, and related public policies

▸ To ensure that Human Capital (HC) planning is guided by a data-driven, results-oriented process

▸ Document the approach to periodically analyzing human capital data to assess results or progress toward goal achievement

Approach to Developing the Accountability Plan

Collaboration with HR professionals (Department, mission areas and agencies)

Step 1

Link HC Goals and Strategies to SP, APP, and HCAAF

Step 2

Develop Accountability Measures

Step 3

Develop Tools to Support Data Collection

Step 4

Monitoring and Evaluation Process

Feedback Mechanisms

Approach to Developing the Accountability Plan

Collaboration with HR professionals (Department, mission areas and agencies)

- A collaborative team of HR professionals from the Department, mission areas and agencies, as well as PMA leaders to develop the Accountability Plan

- Coordinated agency representatives to provide performance measurement support

- Develop standardized guidance and facilitated the development of performance measurement tools for agencies.

- Facilitated forums for sharing internal best practices and opportunities for improvement to support achievement of human capital goals

- USDA's Office of Human Resources Management (OHRM) will play a leadership role in Accountability planning, monitoring, and evaluation

- Agency MAPOS will conduct review and analysis of progress against goals

Approach to Developing the Accountability Plan

▸ USDA's Strategic Goals guided the development of the Accountability System Plan

▸ Thus, the Accountability System Plan is linked to our:

  ▸ Human Capital Plan

  ▸ Strategic Plan

  ▸ Annual Performance Plan

  ▸ OPM's HCAAF

Approach to Developing the Accountability Plan

Linkage of Human Capital Improvement Goal to Strategic Plan, Annual Performance Plan and HCAAF Framework			
HC Improvement Goal/Action Strategies	**Strategic Plan**	**Annual Performance Plan**	**OPM HCAAF**
Goal #1: Institute a practice of systematic HC management, including vision, implementation, and enduring results that are aligned with the USDA and agency missions and integrated with budgets.	1) Link HC Plans with business plans, integrating the HC impacts of Presidential initaitives such as comp sourcing & Egov	2.1.1 Ensure that USDA is well-structured to support its mission.	1) HC Focus 2) Gov't-wide HC Collaboration 3) HR Collaboration
Goal #2: Institute a Dept-wide practice of conducting workforce planning that enables the Department and our agencies to effectively deploy the workforce	1) Increase the use of competitive sourcing 2) Implement programs targeted at critical occs with projected skill gaps	2.1.2 Ensure USDA emps have strategic competencies for mission critical occs	1) Workforce Planning 2) Workforce Deployment
Goal #3: Align recruitment and retention strategies with workforce planning efforts to enhance the effectiveness of these efforts and close critical position and competency gaps	1) Implement programs targeted at critical occupations with projected skill gaps	2.1.3 Improve rec & retention rates for leaders and emps with strategic competencies	1) Workforce Analysis 2) Compete for Talent
Goal #4: Assure leadership continuity and development through workforce planning and analysis, and optimal use of existing tools and resources throughout the Dept. in order to achieve mission requirements	1) Implement programs targeted at critical occupations with projected skill gaps	2.1.3 Improve rec and retention rates for leaders and emps with strategic competencies	1) Leadership Planning & Implement 2) Change Management 3) Integrity & Inspiring Emp Commit
Goal #5: Ensure that USDA plans for, captures, and shares knowledge, and develops employee competence to better perform the Department's mission	N/A	2.1.5 Ensure a knowledge sharing culture 2.1.2 Ensure USDA emps have strategic competencies for mission critical occs	1) Strategic Knowledge Management 2) Continuous Learning & Improve
Goal #6: Ensure the performance appraisal system is aligned with Dept. and/or mission accomplishment, and is linked to employee development and recognition programs, improving individual & organizational performance	1) Develop a high performing and accountable workforce	2.1.4 Ensure USDA culture that motivates high performance	1) Performance Management

Approach to Developing the Accountability Plan
USDA's Accountability Plan Consists of

Step 2

Develop Accountability Measures

▸ Performance Standards linked to Human Capital Goals & Action Strategies

   ‣ Performance Measures

   ‣ Data Source

   ‣ Reporting Requirement

   ‣ Who is Accountable

   ‣ Risks and Challenges

   ‣ Risks Mitigation Strategies

   ‣ Timelines Associated with Action Strategies

Approach to Developing the Accountability Plan
Sample Accountability Performance Standards

Goal #2: Workforce Planning & Deployment - Institute a Departmentwide practice of conducting workforce planning that enables the Department and our agencies to effectively deploy the workforce, as well as prevent skills gaps

Measure 2a) *100 percent of USDA agencies have developed a workforce plan, including reviewing their structure, which has been reviewed by OHRM no later than FY04 (baseline 50 percent)*

Data Source	USDA HC Scorecard (quarterly "pulse check"), USDA HC QAR (quarterly "pulse check"), HCAAF Self-Assessment Tool (Annually)
Reporting Requirement	Quarterly "pulse check"; Annual summary
Who is Accountable	OHRM and MAPOs
Risks & Challenges	New census figures from CPDF may mean inconsistent data for trending purposes, entire model not available for workforce planning but template is ready
Risk Mitigation Strategies	OHRM is developing a Departmentwide model for workforce planning which will make the process more efficient

Approach to Developing the Accountability Plan
Sample Timeline to Achieve Goals

HC Improvement Goal/Action Strategies	Timeline FY03	Timeline FY04	Timeline FY05	Timeline FY06
Goal #1: Institute a practice of systematic HC management, including vision, implementation, and enduring results that are aligned with the USDA and agency missions and integrated with budgets.				
Action D 1.0: Dept. Review and Update of HC Plan	4th Qtr	4th Qtr	4th Qtr	4th Qtr
Action D 2.0: Dept. OHRM Makes Budget Requests to Implement HC Plan	3rd Qtr	3rd Qtr	3rd Qtr	3rd Qtr
Action D 3.0: Dept. Implements HC Communications Strategy	1st Qtr, Ongoing			
Action D 4.0: Dept. Holds Operational Forums for Continuous HC Learning	1st Qtr, Ongoing			
Action D 5.0: Dept. Promotes Collaboration through Practitioner Working Groups	2nd Qtr	1st Qtr	1st Qtr	1st Qtr
Action D 6.0: Establish a Website for Human Capital Information Sharing	2nd Qtr B, 4th Qtr E			
Action A 1.0: Agency Develop and Implement HC Plan & Related Communications	2nd Qtr B, 4th Qtr E		1st Qtr	1st Qtr
Action A 2.0: Agency Integrate HC Plan into Strategic Plan	1st Qtr, Ongoing			
Action A 3.0: Agency Makes Budget Requests to Implement Agency HC Plan	3rd Qtr	3rd Qtr	3rd Qtr	3rd Qtr
Action A 4.0: Agency Regularly Participates in Dept. Forums	1st Qtr, Ongoing			
Goal #2: Institute a Dept-wide practice of conducting workforce planning that enables the Department and our agencies to effectively deploy the workforce				
Action D 1.0: Dept. Conducts Departmentwide Workforce Planning and Updates Annually	1st Qtr	1st Qtr	1st Qtr	1st Qtr
Action D 2.0: Dept. Establishes Workforce Planning Model	1st Qtr B & E			
Action D 3.0: Dept. Develops Automated Web-based Workforce Planning System		2nd Qtr B	2nd Qtr E	
Action D 4.0: Dept. Expand Departmentwide Restructuring Plan	1st Qtr	1st Qtr	1st Qtr	1st Qtr
Action A 1.0: Agency Conducts Workforce Planning Using Dept. Model	3rd Qtr B, 4th Qtr E			
Action A 2.0: Agency Implements Workforce Restructuring Plans				
Action A 3.0: Agency Provides Updates to Dept. on Restructuring Plans	1st Qtr			

D = Department Responsibility, A = Agency Responsibility   **B = Begin Task, E = End Task, Ongoing = Ongoing Activities**

Approach to Developing the Accountability Forms to Support Data Collection

Accountability Report Forms	Purpose	Timetable
USDA Human Capital Scorecard (Consists of 'vital few' measures)	Assess Departmentwide performance against critical HC measures. Provide specific performance measures for Annual Performance Plans (GPRA) linkage to SP and Annual Performance Plan	Quarterly
USDA Human Capital Quarterly Accountability Report	Assess Departmentwide progress implementing HC action strategies	Quarterly
HCAAF Self-Assessment	Assess Departmentwide performance against OPM's HC Standards for Success.	Annually

Approach to Developing Accountability Plan
HC Monitoring and Evaluation Process

Quarterly: HC Forum, Best Practices, HC Website Update, Trend Analysis, Agency Collaboration, Improvement Opportunities

Annually: Human Capital Plan and Accountability Plan Review, HCAAF Self-Assessment Update, Trend Analysis, ROI, Input to Strategic and Annual Performance Plans (GPRA)

Agency / DA USDA HC Quarterly Accountability Report (QAR)

Agency/DA USDA HC Quarterly Scorecard (SC)

QAR

OHRM Data Review & Dissemination

USDA HC Accountability Team Review and Analysis

SC

OPM / OMB

HRLC / PMA Executive Team

Approach to Developing Accountability Plan: Monitoring Roles and Responsibilities

Who is Accountable	Quarterly	Annually
Mission Areas/MAPOS	▪ Complete USDA HC Scorecard ▪ Complete USDA QAR ▪ Participate in HC forums	▪ Complete HCAAF Self-Assessment Tool
OHRM/HCAT	▪ Monitor, analyze, and evaluate performance on HC goals using HC Scorecard and HC QAR ▪ Produce Departmentwide HC progress report for OPM/OMB and other stakeholders ▪ Update HC Website ▪ Host and participate in HC forums ▪ Recommend tools and technology ▪ Provide guidance and support ▪ Ensure PMA coordination with all ongoing HC efforts	▪ Review and Update HC Plan and Accountability System Plan ▪ Ensure PMA coordination with all ongoing HC efforts
HRLC	▪ Discuss Departmentwide progress on HC Scorecard and HC QAR ▪ Dialogue on HC Standards for Success at scheduled meetings	▪ Assess necessary future HC investments and budgets
PMA Executive Team	▪ Communicate with Subcabinet Executives and Secretary regarding HC progress	▪ Make decisions on HC resource priorities
OBPA	▪ Monitor to ensure PMA coordination with all ongoing HC efforts	▪ Monitor to ensure PMA coordination with regards to annual review and updating of HC Plan
OPM/OMB	▪ Evaluate USDA's Departmentwide quarterly reporting on HC initiatives	▪ Review data to derive Executive Branch Management Scorecard for HC Mgmt.

Approach to Developing the Accountability Plan

Feedback Mechanisms

HC Forums

HRLC Meetings

HC Website

Quarterly Reports

The Participants

Human Capital Plan development team volunteered to continue on Accountability System Plan development

- ▶ Large group - 15 to 20 Members of OHRM, Agencies, PMA representatives

- ▶ Five core member team

- ▶ Voluntary, collateral duty

- ▶ Meet 2 –3 hours twice per week

- ▶ Defined meeting agenda and objectives

- ▶ Documentation of meeting notes and group decisions

- ▶ Assignment of "homework to large or core group members

- ▶ Extensive coordination with consultants and core group members

Internal and External Coordination

▶ Developing performance measures was an iterative process

▶ Mixture of experience in developing performance measures

▶ Invited Performance Measurement Experts from the USDA's Strategic Planning Office and external consultant to educate group on performance measure development and facilitate the development session

▶ Evaluated measures against outputs, short- and long-term outcomes; OPM's Accountability Framework (e.g., compliance, efficiency, effectiveness, alignment)

▶ Core group met with OPM's Accountability Team to share initial progress and receive input on the early working drafts

▶ Coordination with OPM Desk Officer

Collaboration and Communication

▸ History and experience of working together on Human Capital Plan contributed to group effectiveness and progress on ASP

  ▸ Established rapport; knew how the process was facilitated

▸ However, difficult to achieve consensus in limited time on each performance measure as a large group

  ▸ Consensus was difficult because multiple perspectives needed to be taken into consideration

  ▸ Some early resistance from certain groups in terms of accountability and responsibilities assigned for achieving the objectives

▸ To meet timelines, tasked a smaller core group to identify the performance measures and associated data sources, accountable parties, reporting requirements, risks and risk mitigation strategies

▸ Vetted the iterations of draft with the large group and against key documents to ensure buy-in and alignment with strategic goals

Summary:
Four Steps to Developing an Accountability Plan

Collaboration with HR professionals (Department, mission areas and agencies)

Step 1
Link HC Goals and Strategies to SP, APP, and HCAAF

tep 2
Develop Accountability Standards

tep 3
Develop Tools to Support Data Collection

tep 4
Monitoring and Evaluation Process

Feedback Mechanisms (HC Forums, HRLC Meetings, HC Website)

- Link HC Goals and Strategies to SP & APP to ensure alignment
- Link Human Capital Goals to OPM's HCAAF to ensure consideration of Critical Success Factors

- Develop Accountability Standards that include:
  - Performance Measures
  - Data Source
  - Reporting Requirement
  - Who is Accountable
  - Risks and Challenges
  - Risks Mitigation Strategies
  - Timelines Associated with Action Strategies

- Develop tools or forms to assess progress against:
  - HC performance measures
  - HC implementation of action strategies
  - HCAAF critical success factors

- Establish and Implement Process to Monitor and Evaluate Progress to:
  - Identify opportunities for improvement
  - Internal best practices
- Create opportunities for providing feedback:
  - HC Forums to identify problems, share practices and develop solutions
  - HC Website to provide performance measure feedback

Lessons Learned

- Top Management support essential
- Corporate case must be made
- Involve stakeholders
- Communicate
- Take the time